

Political Contribution Verification

SOLUTION OVERVIEW

Coverage

50 states and D.C.

8 U.S. territories

1,000s of
counties and municipalities

Up-to-date

Information following government disclosure.

Regulations

- » SEC Rule 206 (4)-5.
- » FINRA Rules 2030 & 4580.
- » CFTC Regulation 23.451.
- » MSRB Rule G-37.
- » State and local pay-to-play regulations.

The 2020 election year and the increased focus on political activism has brought new challenges around monitoring political contributions. Whether your firm permits employee political donations or not, compliance officers must be diligent in fully complying with pay-to-play rules and regulations. This means monitoring activity by employees and incorporating periodic testing into your compliance program.

ComplySci's Political Contribution Verification module identifies political donations made by your firm's employees to help you identify any unexpected activity and mitigate associated risks.

Full employee coverage

ComplySci's Political Contribution Verification module simplifies pay-to-play rule compliance by automating the lookups across state and federal databases. Verify all of your employees' political donations in one step, rather than manually reviewing state and federal databases or relying on random sampling. We check and cross-check every contribution for you.

Comprehensive data

To account for differences in reporting timeframes across states and municipalities, we incorporate a three-year rolling look back, which ensures nothing slips through the cracks based on search timing. Our political contributions database aggregates data across all 50 states, D.C., and eight U.S. territories.

Validate precleared or disclosed contributions

We go one step further by validating employees' precleared and self-reported contributions against public records, identifying any discrepancies.

Complete and accurate

With flexible queries and a user-friendly output, ComplySci's Political Contribution Verification delivers accurate and complete results available, minimizing duplicates and false positives for manual review.

Stop searching across state websites and federal databases to monitor political donations. ComplySci's Political Contribution verifies employees' political donations in one automated step, reducing the time, aggravation and cost of complying with pay-to-play rules and regulations.

"ComplySci's Political Contribution Verification solution offers comprehensive coverage that assists with monitoring of compliance to company policies and pay-to-play regulations. It provides efficiency and risk mitigation to our firm's compliance program."

Top 15 U.S. asset manager compliance manager